

Docket No.: 1016-013

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re Application of: Lup San Leong

: Confirmation No.: 8978

Serial No.: 09/848,997

: Group Art Unit: 2822

Filed: May 4, 2001

: Examiner: Maria F. Guerrero

For: THERMAL MECHANICAL  
PLANARIZATION IN INTEGRATED  
CIRCUITS

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir or Madam:

In accordance with the provisions of 37 C.F.R. 1.56, 1.97, and 1.98 Applicants submit herewith patents, publications, or other information of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose. The attention of the Patent and Trademark Office is hereby directed to the attached form PTO-1449. It is respectfully requested that the references be expressly considered during the prosecution of this application and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.97(b), or  
(within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits: whichever occurs last)
- ☒ under 37 CFR 1.97(c) together with either a:
- ☒ Statement under 37 CFR 1.97(e), or
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(after the CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with a:
- ☐ Statement under 37 CFR 1.97(e), and
- ☐ a \$180.00 fee under 37 CFR 1.17(i).  
(filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Please charge the sum of \$0.00 to Deposit Account 50-0374. The Commissioner is hereby authorized to charge payment of any fees required or credit any overpayment, to Deposit Account No. 50-0374 at any time during the pendency of this application.

- ☒ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form-1449, as presently understood by the individual(s) designated in 37 CFR 1.56(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO-1449 and is enclosed herewith.

CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is, on the date shown below, being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Vickie Ishimaru  
Vickie Ishimaru

Date: November 20, 2003

Respectfully submitted,

Mikio Ishimaru  
Mikio Ishimaru  
Registration No. 27,449  
Date: November 20, 2003  
Telephone No.: (408) 738-0592

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IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Lup San Leong : Confirmation No.: 8978  
Serial No.: 09/848,997 : Group Art Unit: 2822  
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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

STATEMENT UNDER 37 CFR 1.97 (e)

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The undersigned hereby certifies that either:

☒ Each item of information contained in the Information Disclosure Statement was cited for the first time in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement, or

☐ No item of information contained in the Information disclosure Statement

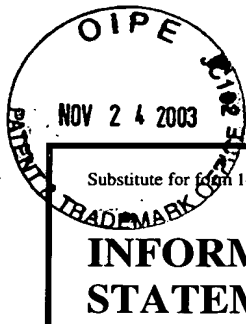
- was cited in a communication from a foreign patent office in a counterpart foreign application, and
- to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56 (c) more than three months prior to the filing of the Information Disclosure Statement.

Respectfully submitted,

Mikio Ishimaru  
Registration No. 27,449

Date: November 20, 2003

Telephone No.: (408) 738-0592



Substitute for form 1449A/PTO

# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

## **Complete if Known**

Application Number	09/848,997
Filing Date	May 4, 2001
First Named Inventor	Leong
Art Unit	2822
Examiner Name	Maria F. Guerrero
Attorney Docket Number	1016-013

Sheet 1 of 2

## **U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	1A	US- 2002/0005260 A1	Jan. 17, 2002	Blalock et al.	
	1B	US-			
	1C	US-			
	1D	US-			
	1E	US-			
	1F	US-			
	1G	US-			
	1H	US-			
	1I	US-			
	1J	US-			
	1K	US-			

## **FOREIGN PATENT DOCUMENTS**

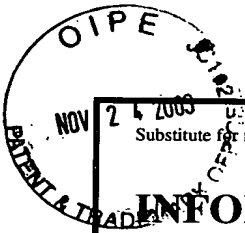
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
	2A	WO 01/18860 A2	15 Mar. 2001	Alliedsignal, Inc.		
	2B	WO 98/53487	26 Nov. 1998	Micron Technology, Inc.		
	2C	JP 10247647	14 Sept. 1998	Sony Corp.	Abstract only	X
	2D	WO 95/11521	27 Apr. 1995	Dobson, Christopher		
	2E					

Examiner Signature	Date Considered
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\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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**Complete if Known**

Application Number	09/848,997
Filing Date	May 4, 2001
First Named Inventor	Leong
Art Unit	2822
Examiner Name	Maria F. Guerrero
Attorney Docket Number	1016-013

Sheet 2 of 2

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	3A	Device for Planarizing Structured Surfaces, IBM Technical Disclosure Bulletin, Vol. 32 No. 5A, October 1989, No.: XP 002021196	
	3B		
	3C		
	3D		
	3E		
	3F		
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	3J		
	3K		

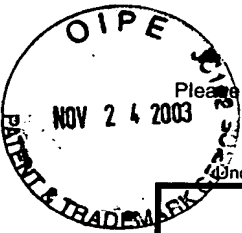
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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Applicati n Numb r	09/848,997	
	Filing Date	May 4, 2001	
	First Named Inventor	Lup San Leong	
	Group Art Unit	2822	
	Examiner Name	Maria F. Guerrero	
Total Number of Pages in This Submission	3+	Attorney Docket Number	1016-013

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Statement Under CFR 1.97 (e)
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	PTO/SB/08a
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<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks:	Acknowledgement Postcard
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Mikio Ishimaru
Signature	<i>Mikio Ishimaru</i>
Date	November 20, 2003

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